



NASA Headquarters
Washington, DC 20546

HQOWI-7210-R014B
August 13, 1999

Aero-Space Technology Strategic Enterprise (HQ/Code R)

Office Work Instruction

Performance Assessment and Investment Strategy

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August 13, 1999

Responsible Office: Code RG

Subject: Performance Assessment and Investment Strategy**DOCUMENT HISTORY LOG**

<u>Status</u> (<u>Draft/</u> <u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>)	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		1/22/1999	
Revision	A	4/30/1999	Paragraph 3: clarified definition of GNS. Paragraph 5 modified flowchart to agree with changes made to procedure. Paragraph 6: Added criteria for acceptable workmanship, deleted referenced to statistical techniques and externally conducted analysis, added change review provision, clarified procedural steps. Paragraph 7: revised table to new format, clarified record retention media, added references to appendices.
Revision	B	8/13/1999	Defined "Electronic Document Control" per NCR 331 and made appropriate references in work instruction text. Made revision to in Paragraphs 6.1 and 6.2 per NCR 331 to address use of interim and draft documents in review and approval cycle. In Paragraph 6.7, provided for signature with the approval. Updated the list of Quality Records to have names consistent with those referenced in other places in the document.

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Subject: Performance Assessment and Investment Strategy**Approved by:** Original signed by Spence M. Armstrong August 13, 1999**1. PURPOSE**

The purpose of this office work instruction (OWI) is to document the process for conducting performance assessments of achievements against Enterprise goals and determining programmatic and institutional investment strategies and related guidance for Enterprise activities.

2. SCOPE and APPLICABILITY**2.1**

Assessment activities will be led by Strategic Goal Managers in the Office of Aero-Space Technology (OAT) Goals Division (Code RG). Plans covered by this procedure include the roadmaps for all of the Enterprise technology goals (ETGs).

2.2

This procedure applies to the NASA Headquarters OAT and its Enterprise activities except the agency-wide Commercial Technology and Small Business Innovation Research Programs.

3. DEFINITIONS

The following terms and acronyms apply to this OWI:

AA	Associate Administrator for OAT
Code B	Office of the Chief Financial Officer, NASA Headquarters
EB	Executive Board for the Aero-Space Technology Strategic Enterprise, including the AA, Deputy AA, Chief Financial Officer (Code B), and Center Directors and/or their Deputies from ARC, DFRC, LaRC, GRC, and MSFC.
ETG	Enterprise technology goals

Electronic Document Control	<p>To ensure the control of electronic documents and data, the Code RG Division Director has the responsibility to explicitly provide for:</p> <ul style="list-style-type: none"> • The authentication of controlled electronic documents/data as approved for issue and use; • The identification of a secure electronic storage location that restricts the maintenance of controlled electronic documents/data (i.e., posting, deletion) to the authorized actionee/employee, and allows,
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at a minimum, for access by employees that require the controlled documents/data to perform work; and

- The identification of release/use restrictions, if applicable to controlled electronic documents/data.

External Assessment Formal or ad hoc assessment by an organization outside the Agency.

GNS Goal Needs Statement. An analysis indicating the major elements missing from the roadmaps but required to achieve the 10 and 25 year metrics contained within the ETGs. It considers the adequacy of the Roadmaps to fulfill the ETGs and the progress made towards the elements in the Roadmaps. This document is used to plan new program elements.

Goal Progress Report. A report documenting the accomplishments towards and ETG. The report addresses the progress in terms of the most recent year and all previous years.

GPRA Government Performance and Results Act. Legislation that mandates three Agency level documents: a Strategic Plan; an Annual Performance Plan, and an Annual Performance Report

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GPRA Annual Performance Plan Input is provided by OAT for inclusion in the Agency plan prepared by Code B for submission with the OMB budget submittal. The plan describes the program to be undertaken in the year of budget execution. The plan is revised in mid-February after the Agency receives its approved budget.

GPRA

Performance Report Input is provided by OAT for inclusion in the agency report submitted by Code B. The performance report, due to Congress 6 months after the end of the fiscal year, presents actual accomplishments for the year of program execution.

Investment Strategy. The strategy the AST, Enterprise will implement to meet the requirements contained in the enterprise strategic plan. The investment strategy consists of a strategy statement, GNS, and PFP input.

PFP Program Financial Plan (see HQOWI-7410-R001A) — new obligation authority and/or funding guidelines

POP Program Operating Plan (see HQOWI-7410-R001A)

Roadmap Document that articulates the strategy, performance metrics, and requirements to achieve an enabling technology goal. Includes all efforts by NASA and others, towards the achievement of the ETG – both funded and unfunded. See Enterprise Strategic Plan Development, Maintenance, And Approval (HQOWI-7020-RO12)

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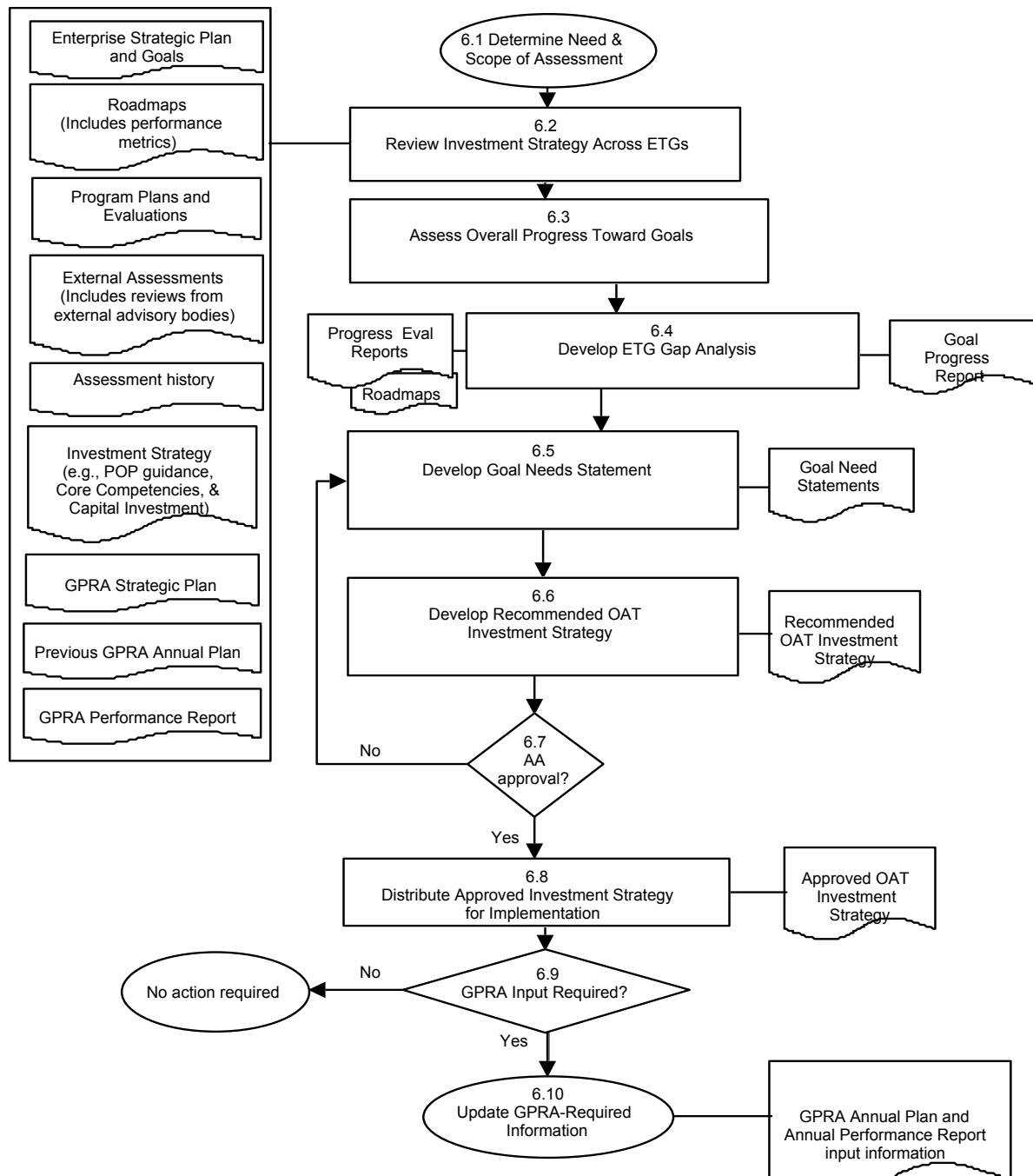
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**4. REFERENCE
DOCUMENTS**

Aeronautics Strategic Plan: Achieving Aeronautics Leadership
1995-2000 (1995) - -
<<http://ctd.hq.nasa.gov/iso9000/astdocs/>>
Program Plans (see HQOWI-7100-R007A , Program/Project
Formulation And Approval)
Final Monthly Evaluation Reports (see HQOWI-7040-R008A,
Program Evaluation)
HQOWI-7020-R012, Enterprise Strategic Plan Development,
Maintenance and Approval
Investment Strategy (POP Guidance) (see HQOWI-7410-ROO1A ,
Enterprise/IPO Budget Formulation)
GPRA Annual Plan
GPRA Strategic Plan
Three Pillars for Success: NASA's Response to Achieve the
National Priorities in Aeronautics and Space
Transportation (1997) –
<<http://ctd.hq.nasa.gov/iso9000/astdocs/>>

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6. PROCEDURE

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	OAT AA or Director RG	Determine the need for an assessment and define its scope. The AA or the Division Director determines the need for an assessment of a goal either on a periodic basis or as needed/ requested in support of such activities as reviews by advisory bodies, investment strategy development, input to budget formulation, annual reports such as GPRA, and internal and external oversight. The RG DD is authorized to approve the use of documents and data that are not specified in this procedure; such use of draft or unanticipated documents and data shall be documented.
6.2	RG Goal Manager	Review the investment strategy across ETGs. Using scope guidelines provided by Director RG or AA, gather necessary OAT-focused information. Sources are Strategic Plan, Goals, Roadmaps, Program Plans, Program Evaluations, GPRA performance report, GPRA Plan Approval, GPRA performance report Goal Needs Statement, external program and goal assessments, most recent investment strategy, and records of past external assessments. The Enterprise Strategic Plan and Goals, Roadmaps, Program Plans and Evaluations, Investment Strategy, and GPRA Strategic Plan may be used in working draft form if those drafts provide more current information than the current controlled documents, per the documented approval of the Division Director. Verify currency of documents with the Administrative Support Specialists in both the Goal and Program Divisions. Extract the existing investment plans and strategies for all goals, including relative priorities from the source material.

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| 6.3 | RG Goal Manager | Assess overall progress towards the Goals. Must determine (1) if the roadmap contains the elements, that if successfully executed, would achieve the metrics contained in the ETG, (2) to what extent do the elements contribute to the metrics, and (3) if the program elements are being delivered on time and if they are providing the performance metric. External assessments, including Center performed systems analysis, can be used to evaluate such activities in this assessment cycle. The analysis assesses the benefit potential and implementation risk of technology and program plans and accomplishments against goal metrics. As a part of the analysis, the RG Goal Manager can solicit relevant information from the Field Centers, other agencies and industry. |
| 6.4 | RG Goal Manager | Develop ETG gap analysis. Compare Final Program Evaluation Reports (accomplishments) against progress toward goals assessment. Identify gaps based on programmatic shortfalls as well as identified, but unfunded, investment needs. Produce a Goal Progress Report in accordance with Appendix A. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3. If required, an independent external assessment can be used to address such activities in this planning cycle. |
| 6.5 | RG Goal Manager | Develop Goal Need Statement. Using the results of the systems analysis, gap analysis and, if applicable, the recommendations of an external assessment, the goal manager, in consultation with the Senior Integration Manager, and the Division Director, develops a GNS in accordance with Appendix B of this HQOWI. The GNS will identify and address gaps in the investment strategy, including capital investment and capability needs. Each GNS is approved and signed by the Code RG Division Director. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3. |

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| 6.6 | RG Senior Integration Manager | Develop recommended OAT investment strategy. Using the GNSs, the Senior Integration Manager, in consultation with the Code RG Division Director generates a recommendation for the Code R investment strategy, including investment priorities. The investment strategy includes an investment strategy statement, inputs to the PFP consistent with the PFP format specified by Code RB Division Director, and GNSs. The recommended investment strategy is approved and signed by the Code RG Division Director. |
| 6.7 | AA | Approval and signature by the AA. The investment strategy, including the investment strategy statement, GNSs, and PFP input, is considered. If disapproved, the total package is returned to the Code RG Division Director with guidance for revision. Upon complying with the revision guidance, the total package is resubmitted for AA approval and signature. Once approved, the total package proceeds to step 6.8. The package, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document as defined in Section 3. |
| 6.8 | AA | Distribute investment strategy for implementation. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3. Once the package of GNSs and investment strategy is approved, the components are forwarded to Code R organizations as input to their respective processes: GNSs to Program/Project Formulation and Approval (HQOWI-7100-R007, Code RP), PFP inputs to Enterprise/IPO Budget Formulation (HQOWI-7410-R001, Code RB), and both the GNSs and the PFP inputs to Facility Investment Planning (HQOWI-7232-R010, Code RS). |
| 6.9 | Senior Integration Manager | The Senior Integration Manager, in consultation with the Goal Manager, determines if assessment results require input to GPRA process. GPRA input will be required if the investment strategy addresses any of the programs included in the current Enterprise Strategic Plan, Annual Plan or previous Annual Report. If determination is "no", the Senior Integration Manager makes a notation for his files. |

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- 6.10** Senior Integration Manager Update GPRA-required information. The Senior Integration Manager, with support from the Goal Manager integrates goal progress information (for GPRA Performance Report) and updates plan and strategy (for GPRA Annual Plan). This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3. Forward the information through Code RB to Code B for integration into the Agency GPRA response.

7 **QUALITY RECORDS**

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/Disposition</u>
Goal Needs Statement	RG RM	Code R Server	Electronic	Schedule 7, Item 4A	Retain for 5 years. Retire to Federal Records Center (FRC)
Goal Progress Report	RG RM	Code R Server	Electronic	Schedule 7, Item 5A2	Retain for 2 Years. Retire to FRC
Approved OAT Investment Strategy	RG	Code R Server	Electronic	Schedule 7, Item 4A	Retain For 5 Years. Retire To FRC
GPRA Annual Plan and Performance Report Input Information	RG IM	Code R Server	Electronic	Schedule 7, Item 4B	Retain for 5 Years then destroy

Appendix A – Memo on Goal Progress Reports. The correct version may be obtained at <http://ctd.hq.nasa.gov/iso9000/astdocs/>

Appendix B – Sample Goals Needs Statement: Aviation System Throughput. The correct version may be obtained at <http://ctd.hq.nasa.gov/iso9000/astdocs>